



Please type a plus sign (+) inside this box → **[+]**

Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number **09/750,217**

Filing Date **December 29, 2000**

First Named Inventor **Nicole KLAPPHOLZ**

Group Art Unit **2181**

Examiner Name

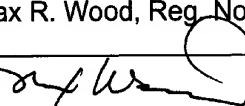
Attorney Docket Number **9-13528-122US**

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Covering letter. Copy of Notice to File Missing Parts. Filing Receipt.
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name **Max R. Wood, Reg. No. 40,388**

Signature 

Date **March 21, 2001**

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: **[ ]**

Typed or printed name

Signature

Date

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/17 (09-00)

Approved for use through 10/31/2002, OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

#3

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$ 170)

## Compl te if Known

Application Number	09/750,217
Filing Date	December 29, 2000
First Named Inventor	Nicole KLAPPHOLZ
Examiner Name	
Group Art Unit	2181
Attorney Docket No.	9-13528-122US

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																																																																											
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number <b>19-5113</b></p> <p>Deposit Account Name <b>Swabey Ogilvy Renault</b></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Code (\$)</th> <th>Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>105</td> <td>130</td> <td>205</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> <td>130</td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>139</td> <td>130</td> <td>139</td> <td>130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>147</td> <td>2,520</td> <td>147</td> <td>2,520</td> <td>For filing a request for <i>ex parte</i> reexamination</td> <td></td> </tr> <tr> <td>112</td> <td>920*</td> <td>112</td> <td>920*</td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113</td> <td>1,840*</td> <td>113</td> <td>1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115</td> <td>110</td> <td>215</td> <td>55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>116</td> <td>390</td> <td>216</td> <td>195</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>117</td> <td>890</td> <td>217</td> <td>445</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>118</td> <td>1,390</td> <td>218</td> <td>695</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128</td> <td>1,890</td> <td>228</td> <td>945</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>119</td> <td>310</td> <td>219</td> <td>155</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>120</td> <td>310</td> <td>220</td> <td>155</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121</td> <td>270</td> <td>221</td> <td>135</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>138</td> <td>1,510</td> <td>138</td> <td>1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140</td> <td>110</td> <td>240</td> <td>55</td> <td>Petition to revive - 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late filing fee or oath	130	127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	390	216	195	Extension for reply within second month		117	890	217	445	Extension for reply within third month		118	1,390	218	695	Extension for reply within fourth month		128	1,890	228	945	Extension for reply within fifth month		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,240	241	620	Petition to revive - unintentional		142	1,240	242	620	Utility issue fee (or reissue)		143	440	243	220	Design issue fee		144	600	244	300	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))		149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))		179	710	279	355	Request for Continued Examination (RCE)		169	900	169	900	Request for expedited examination of a design application		Other fee (specify) _____						Reduced by Basic Filing Fee Paid				<b>SUBTOTAL (3) (\$ 170)</b>	
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\*or number previously paid, if greater; For Reissues, see above

SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Max R. Wood	Registration No. (Attorney/Agent)	40,388	Telephone 613-230-6072
Signature			Date	March 21, 2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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Sector 3 #3

**SWABEY  
OGILVY RENAULT**  
S.E.N.C.



P A T E N T A N D T R A D E M A R K A G E N T S

Ottawa,  
March 21, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231  
U. S. A.

Sir:

**Re: United States Patent Application**  
**Title: METHODS AND SYSTEM FOR TIME  
MANAGEMENT IN A SHARED MEMORY  
PARALLEL PROCESSOR COMPUTING  
ENVIRONMENT**  
**Serial No.: 09/750,217**  
**Filing Date: December 29, 2000**  
**Inventor: KLAPPHOLZ, Nicole**  
**Assignee: Nortel Networks Limited**  
**Our File: 9-13528-122US MRW:lf**

In response to the Notice to File Missing Parts under 37 CFR 1.53(b), enclosed are the following:

1. Transmittal Form (PTO/SB/21).
2. Fee Transmittal for FY 2001 (PTO/SB/17).
3. Copy of Notice to File Missing Parts under 37 CFR 2.53 (b).
4. Combined Declaration/Power of Attorney.
5. Assignment in favour of Nortel Networks Limited, with Recordation Form PTO-1619A (inventor Nicole KLAPPHOLZ).
6. Our cheque No. 008692 in the amount of \$170.00 in payment of the Declaration surcharge (\$130.00) and assignment recordal fee (\$40.00).
7. Original filing receipt returned for correction (together with a copy of page 1 of the filing receipt with the corrections noted thereon), as follows:
  - (a) Applicant's address.
8. Information Disclosure Statement.

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to our Account No. 19-5113.

ROBERT MITCHELL  
GUY J. HOULE  
PAUL MARCOUX  
KEVIN P. MURPHY  
JOHN D. MILLER  
ROBERT CARRIER  
JOAN M. VAN ZANT  
MICHEL SOFIA  
FRANCE CÔTE  
CÉLINE TREMBLAY  
MAX R. WOOD  
JAMES ANGLEHART  
PAUL J. FIELD  
PATRICIA SEGUIN  
WAYNE YAN  
FRANÇOIS NADEAU  
KENT DANIELS  
SUSAN I. TANDAN  
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CHRISTIAN CAWTHORN  
JENNIFER QUINN

JOAN CLARK, Q.C.  
C. ROSS CARSON  
MALCOLM E. MCLEOD  
J. NELSON LANDRY  
DANIEL I. LACK  
CLAUDE BRUNET  
PATRICK E. KIERANS  
TERRANCE J. McMANUS  
JOHANNE GAUTHIER  
DANIÈLE BOUTET  
KENNETH E. SHARPE  
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DANIEL S. DRAPEAU  
GEORGE R. LOCKE  
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PETER WILCOX  
BRIAN DALEY  
LEIGH D. CRESTOHL  
JOANNE CHRIQUI  
BENOÎT CLERMONT  
LEANNE SOUQUET  
ROWENA BORENSTEIN

*Administrator*  
JAMES A. FRASER

ALAN SWABEY [1909-1990]  
MELVIN SHER [1935-1994]

A FIRM IN WHICH SWABEY, MITCHELL,  
HOULE, MARCOUX & SHER AND  
THE LAW FIRM OGILVY RENAULT  
ARE PARTNERS

Assistant Commissioner of Patents  
09/750,217

March 21, 2001

Please note that the address of the agents for the applicant in this matter should be the Montreal address identified in the enclosed Declaration/Power of Attorney. Correspondence may be directed to **Max R. Wood** at the Montreal address of Swabey Ogilvy Renault.

Respectfully submitted,



Max R. Wood  
Reg. No. 40,388  
Agent of Record

MRW:lf  
Encls.

#3



UNITED STATES PATENT AND TRADEMARK OFFICE



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/750,217	12/29/2000	Nicole Klappholz	9-13528-122US

**CONFIRMATION NO. 6983**

020988  
SWABEY OGILVY RENAULT  
SUITE 1600  
1981 MCGILL COLLEGE AVENUE  
MONTREAL, QC H3A2Y3  
CANADA

**FORMALITIES LETTER**



\*OC00000005753458\*

Date Mailed: 02/12/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

***Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
  
- The balance due by applicant is \$ 130.

*A copy of this notice MUST be returned with the reply.*

*Schulz*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/23/2001 EEKUBAY1 00000008 09750217

01 FC:105

130.00 OP



UNITED STATES PATENT AND TRADEMARK OFFICE



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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/750,217	12/29/2000	2181	998	9-13528-122US	6	36	3

CONFIRMATION NO. 6983

020988  
SWABEY OGILVY RENAULT  
SUITE 1600  
1981 MCGILL COLLEGE AVENUE  
MONTREAL, QC H3A2Y3  
CANADA

FILING RECEIPT



\*OC000000005753457\*

Date Mailed: 02/12/2001

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**Applicant(s)**

Nicole Klappholz, Residence Not Provided;

SWABEY OGILVY RENAULT

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MAR 7 2001

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**Assignment For Published Patent Application**

Nortel Networks Limited.;

**Continuing Data as Claimed by Applicant**

**Foreign Applications**

If Required, Foreign Filing License Granted 02/09/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title



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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/750,217	12/29/2000	2181	998	9-13528-122US	6	36	3

CONFIRMATION NO. 6983

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M. 2 9 10 11 12 1 2 3 4 5 P.M.

**Foreign Applications**

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Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

**Title**

Methods and system for time management in a shared memory parallel processor computing environment

Preliminary Class

710

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Data entry by : SOHAIL, SUMAIRA

Team : OIPE

Date: 02/12/2001



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